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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/785,596	02/16/2001	Robert Casper	6208-003	4392

27383 7590 06/05/2007  
CLIFFORD CHANCE US LLP  
31 WEST 52ND STREET  
NEW YORK, NY 10019-6131

EXAMINER
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KESACK, DANIEL

ART UNIT	PAPER NUMBER
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3691

MAIL DATE	DELIVERY MODE
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06/05/2007

PAPER

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

# Office Action Summary

Application No.

09/785,596

Applicant(s)

CASPER ET AL.

Examiner

Dan Kesack

Art Unit

3691

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

## Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

## Status

1) ☒ Responsive to communication(s) filed on 27 February 2007.

2a) ☐ This action is FINAL.

2b) ☒ This action is non-final.

3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

## Disposition of Claims

4) ☒ Claim(s) 1-16 and 21 is/are pending in the application.

4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.

5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.

6) ☒ Claim(s) 1-16 and 21 is/are rejected.

7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.

8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

## Application Papers

9) ☐ The specification is objected to by the Examiner.

10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.

Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

## Priority under 35 U.S.C. § 119

12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

a) ☐ All b) ☐ Some \* c) ☐ None of:

1. ☐ Certified copies of the priority documents have been received.

2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.

3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

## Attachment(s)

1) ☒ Notice of References Cited (PTO-892)

2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)

3) ☐ Information Disclosure Statement(s) (PTO/SB/08)

Paper No(s)/Mail Date \_\_\_\_\_

4) ☐ Interview Summary (PTO-413)

Paper No(s)/Mail Date. \_\_\_\_\_

5) ☐ Notice of Informal Patent Application

6) ☐ Other: \_\_\_\_\_

## **DETAILED ACTION**

### ***Continued Examination Under 37 CFR 1.114***

1. A request for continued examination under 37 CFR 1.114, including the fee set forth in 37 CFR 1.17(e), was filed in this application after final rejection. Since this application is eligible for continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e) has been timely paid, the finality of the previous Office action has been withdrawn pursuant to 37 CFR 1.114. Applicant's submission filed on February 27, 2007 has been entered.

### ***Status of Claims***

2. Claims 1-16, and 21 are currently pending.

### ***Claim Rejections - 35 USC § 102***

3. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the

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applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

4. Claims 1 are rejected under 35 U.S.C. 102(e) as being anticipated by Walker et al., U.S. Patent No. 6,327,573.

Claim 1, 11, 21, Walker discloses a system and method for managing transaction information, comprising a data structure for causing a computer to:

form a party file having a plurality of party records, each party record having party information relating to one of a plurality of parties (figure 3A, and column 6 lines 10-20), each party record including a link to another party record (figure 3B, 304-3 and 304-N);

form an account file having a plurality of account records, each account record having account information relating to one of a plurality of accounts (figure 4A), each account record including a link to at least one party record (figure 3B, M2, M3, MN); and,

form a transaction file having a plurality of transaction records, each transaction record having transaction information relating to one of a plurality of transactions (figure 3C), each transaction record including a link to an account record (figure 3B, M1).

Claims 2, 12, Walker teaches the plurality of parties includes a principal party , and the account records including a link of one party record having information related to the principal party (column 7 lines 7-12).

Claims 3, 13, Walker teaches a primary account holder is an order placer party, and wherein party records would include a link to said order placer party (column 14 lines 55-67)

Claims 7, 9, Walker teaches at least one party record has a hierarchical relationship field (figure 4A, 412-1, wherein the field would indicate that the party is in hierarchical relationship with a primary account holder), a first plurality of party records having information relating to a first party and a second plurality of party records having information relating to a second party (figure 3A), said first party and said second party have a hierarchical relationship, wherein the fields indicate said hierarchical relationship.

Claim 8, Walker teaches the hierarchical relationship indicates that the first party is the parent of the second party (column 7 lines 7-12).

### ***Claim Rejections - 35 USC § 103***

5. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the

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invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

6. The factual inquiries set forth in *Graham v. John Deere Co.*, 383 U.S. 1, 148 USPQ 459 (1966), that are applied for establishing a background for determining obviousness under 35 U.S.C. 103(a) are summarized as follows:

1. Determining the scope and contents of the prior art.
2. Ascertaining the differences between the prior art and the claims at issue.
3. Resolving the level of ordinary skill in the pertinent art.
4. Considering objective evidence present in the application indicating obviousness or nonobviousness.

7. Claims 4, 5, 14, and 15 are rejected under 35 U.S.C. 103(a) as being unpatentable over Walker.

Official Notice is taken that keeping salesperson records and booking company records are old and well known in the art. Transaction systems often keep such records to facilitate employee or third-party compensation for transactions completed, and to maintain customer relationships by keeping track of which parties have serviced a given customer in the past. Walker describes transaction information related to completed transactions (figure 3C). It would have been obvious to one of ordinary skill in the art at the time of the Applicant's invention to modify the teachings of Walker to include the salesperson and/or booking company involved in a transaction within the transaction records in order to compensate the individuals, or to maintain relationships with the customers. It is noted that a party is linked to a transaction, and a transaction would include the salesperson or booking company party, and therefore the party is linked to the salesperson or booking company.

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8. Claims 6, 10, and 16 are rejected under 35 U.S.C. 103(a) as being unpatentable over Walker, in view of Fleming, U.S. Patent No. 5,953,710.

Fleming discloses a system and method for implementing a parent-child credit card, in which the child's account is linked with the card's credit card account. Fleming teaches the child's purchases are drawn from the parent's credit limit, and appear on the parent's statement (column 3 lines 11-32), which makes the parent the guarantor of the child's sub-account. It would have been obvious to one of ordinary skill in the art at the time of the Applicant's invention to modify the teachings of Walker to include the teachings of Fleming because Walker teaches a accounts and sub-accounts associated with a single debit/credit account (column 19 lines 26-40), and Fleming teaches improved ways to implement accounts and sub-accounts drawn from the same line of credit.

### ***Response to Arguments***

9. Applicant's arguments with respect to claims 1-16, and 21 have been considered but are moot in view of the new ground(s) of rejection.

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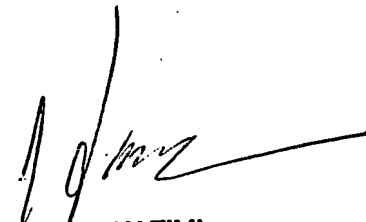
**Conclusion**

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Dan Kesack whose telephone number is 571-272-5882. The examiner can normally be reached on M-F, 9:00am-5:00pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Alexander Kalinowski can be reached on 571-272-6771. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

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HANI M. KAZIMI  
PRIMARY EXAMINER